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## CALIFORNIA EMERGENCY MANAGEMENT AGENCY

June 9, 2009

Ronald Baldwin  
Director of Emergency Operations  
San Joaquin County of Emergency Services  
222 East Weber Avenue, Courthouse, Room 610  
Stockton, CA 95202

Monitoring Report #M09-008

Dear Mr. Baldwin:

On March 27, 2009, the California Emergency Management Agency (Cal-EMA), Monitoring and Audits Unit, Program Monitors, James Lewis and Jennifer Kolbe conducted a desk monitoring review for the purpose of monitoring the San Joaquin Homeland Security Grant Programs. I wish to thank you and your staff for the courtesy extended to Mr. Lewis and Ms. Kolbe during the review process. Enclosed, you will find the monitoring report for the following grants:

<b>GRANT NUMBER</b>	<b>PROGRAM NAME</b>	<b>PERIOD MONITORED</b>
2005-0015 #077-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 - 03/31/07
2006-0071 #077-00000	FY06 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/08
2007-0008 #077-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/08

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your Cal-EMA Program Representative will receive a copy of the monitoring report. Their names are identified on the face sheet of the report.

This monitoring report did not identify any findings; therefore a Corrective Action Plan is not necessary and the monitoring process is complete.

GOVERNOR ARNOLD SCHWARZENEGGER • DIRECTOR MATT BETTENHAUSEN

OFFICE OF THE GOVERNOR, SACRAMENTO, CALIFORNIA 95814

(916) 324-8908 • FAX (916) 323-9633

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

California Emergency Management Agency  
Local Assistance Monitoring Branch  
Monitoring & Audits Unit  
State Capitol  
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact the program monitor.

Sincerely,

A handwritten signature in black ink, appearing to read "MBaldwin", followed by a horizontal line.

Michael Baldwin  
Branch Chief  
Local Assistance Monitoring Branch

Attachment

cc: Sarah Knight, Cal-EMA Program Representative  
Monitoring & Audits Unit, chron file  
Grants Management Unit, grant file

Monitoring Report Response Form

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TO:	Governor's Office of Homeland Security	Grant Numbers:	2005-0015 2006-0071 2007-0008
	Grants Management Section Monitoring & Audits Unit State Capitol Sacramento, CA 95814	Monitoring Control Number:	#M09-008
	Attention: Monitoring & Audits Unit	Response Due:	N/A

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FROM: Subgrantee: \_\_\_\_\_

**Completed**

☐

I have reviewed the above referenced monitoring report and have submitted for your review and approval, an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by Cal-EMA program staff.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Telephone Number





**CALIFORNIA EMERGENCY  
MANAGEMENT AGENCY (CAL-EMA)  
MONITORING NARRATIVE REPORT**

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2005-0015 #077-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/2004 to 03/31/2007	\$1,696,525
2006-0071 #077-00000	FY06 Homeland Security Grant Program (HSGP)	08/04/2006 to 03/31/2008	\$1,351,827
2007-0008 #077-00000	FY07 Homeland Security Grant Program (HSGP)	09/19/2007 to 03/31/2010	\$1,675,510

**County of San Joaquin  
Office of Emergency Services  
San Joaquin Operational Area**

<b>AUTHORIZED AGENT:</b>	Ronald Baldwin	<b>ADDRESS:</b>	222 East Weber Avenue, Courthouse, Room 610 Stockton, CA 95202
<b>CONTACT EMAIL:</b>	Rbaldwin@co.san-joaquin.ca.us		
<b>CONTACT PHONE NUMBER:</b>	(209) 468-3692		
<b>ALTERNATE POINT of CONTACT:</b>			
<b>CONTACT EMAIL:</b>			
<b>PROGRAM REPRESENTATIVE:</b>	Sarah Knight	<b>E-mail:</b>	Sarah.Knight@ohs.ca.gov
<b>PHONE NUMBER:</b>	(916) 322-9067		
<b>PROGRAM MONITOR:</b>	James Lewis	<b>E-mail:</b>	James.Lewis@ohs.ca.gov
<b>PHONE NUMBER:</b>	(916) 322-2335	<b>DATE OF MONITORING:</b>	March 24 - 27, 2009

**PERSONS INTERVIEWED DURING MONITORING VISIT**

NAME	TITLE	AGENCY

Prepared by:

James Lewis, Program Monitor, Cal-EMA Local Assistance monitoring Branch

5/28/2009  
Date

Approved by:

Michael Baldwin, Branch Chief Cal-EMA, Local Assistance Monitoring Branch

5/29/09  
Date

Monitoring Date(s): March 24-26, 2009

## San Joaquin Co. OA Monitoring Report

### PROGRAM SUMMARY

**Corrective Action Plan:** Required

### MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (8 items).
1. **Review of Audit Report:** Subgrantee in compliance (2 items).
  2. **Grant Assurances:** Subgrantee in compliance (1 item).
  3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
  4. **Performance Reports:** Subgrantee in compliance (1 item).
  5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
  6. **Publication of Materials:** Subgrantee in compliance (1 item).
- B. Programmatic Review:** Subgrantee in compliance (4 items); Not applicable for Subgrantee (2 items).
1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
  2. **Exercise:** Not applicable for Subgrantee (2 items)
  3. **Training:** Subgrantee in compliance (1 item).
  4. **Planning:** Subgrantee in compliance (1 item).
- C. Financial Management:** Subgrantee in compliance (13 items).
1. **Accounting System:** Subgrantee in compliance (8 items).
    - a. Financial Reporting: Subgrantee in compliance (1 item).
    - b. Source Documentation: Subgrantee in compliance (1 item).
    - c. Double Billing: Subgrantee in compliance (1 item).

## San Joaquin Co. OA Monitoring Report

- C. 1. c. *Note:* The subgrantee has for the past two monitoring used a date stamp that indicates the grant, grant source, grant year, budget, project, signature of authorized agent and date to assure that no double billing has occurred.
- d. Supplanting: Subgrantee in compliance (1 item).
- e. Accounting Basis: Subgrantee in compliance (1 item).
- f. Commingling of Funds: Subgrantee in compliance (1 item).
- g. General Ledger Accounting Structure: Subgrantee in compliance (1 item).
- h. Costs Directly Related: Subgrantee in compliance (1 item).
2. **Distribution of Funds**: Subgrantee in compliance (1 item).
3. **Advance of Funds**: Subgrantee in compliance (2 items).
4. **Change Request/Modifications**: Subgrantee in compliance (2 items).
5. **Records Maintenance**: Subgrantee in compliance (1 item).
- Off Site Storage & Accessible: Subgrantee in compliance (1 item).
- Note:* Authorized agent displayed to the Monitors the original invoices at the County Auditor's office.
- D. **Fiscal: Personnel Services**: Not applicable for Subgrantee (6 items).
1. **Management and Administrative Services**: Not applicable for Subgrantee (3 items)
2. **Overtime/Backfill and/or CTO**: Not applicable for Subgrantee (3 items).
- E. **Fiscal: Procurement**: Subgrantee in compliance (5 items).
1. **Responsibility**: Subgrantee in compliance (1 item).
2. **Methods of Procurement**: Subgrantee in compliance (4 items).



## San Joaquin Co. OA Monitoring Report

- F. Fiscal: Equipment & Property Management:** Subgrantee in compliance (5 items).
1. **Equipment Purchases:** Subgrantee in compliance (3 items).
  2. **Property and Records keeping:** Subgrantee in compliance (2 items).
- G. Subgrantee Monitoring & Oversight:** Subgrantee in compliance (3 items); Not applicable for Subgrantee (2 items).
- a. Audits of Subrecipients Responsibility: Subgrantee in compliance (1 item).
  - b. Management & Administration (M&A) Responsibility: Not applicable for Subgrantee (1 item).
  - c. Overtime/Backfill/CTO Responsibility: Not applicable for Subgrantee (1 item).
  - d. Procurement Responsibility: Subgrantee in compliance (1 item).
  - e. Equipment & Property Management Responsibility: Subgrantee in compliance (1 item).